# Organizational Capacity Assessment (OCA)

Organizational Capacity Building Approach

➢ **This model for capacity building involves a cyclical process that includes <u>assessment</u>, <u>prioritization</u>, <u>planning</u> and provide <u>technical assistance</u> (TA).**

➢ **Capacity building approach involves regular assessments followed by tailored assistance including one-on-one mentoring, systems and tools development**

➢ **This assessment data is then used to prepare technical assistance plans with emphasis on areas where the organization has scored the lowest**

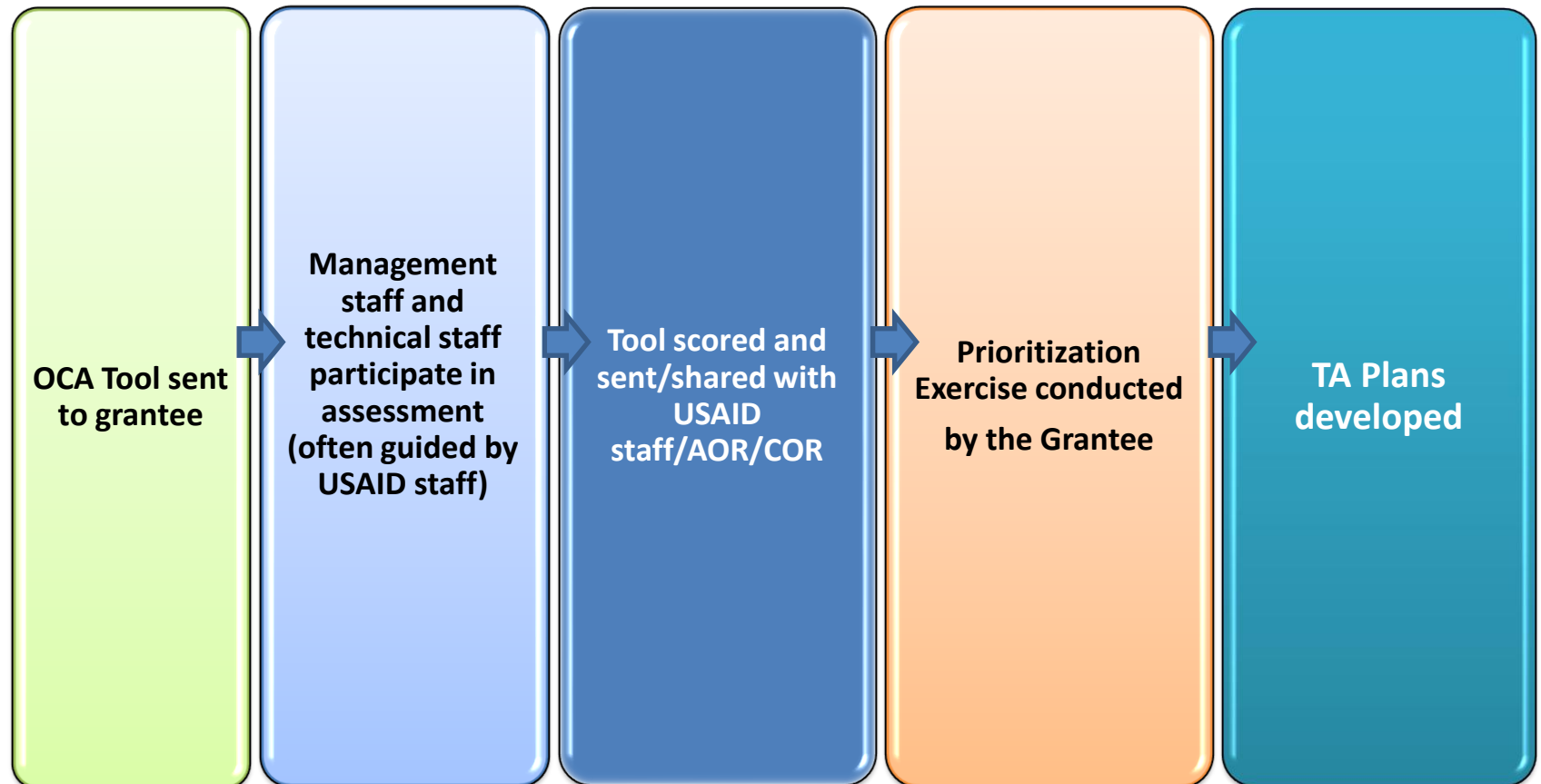# Organizational Capacity Building Approach
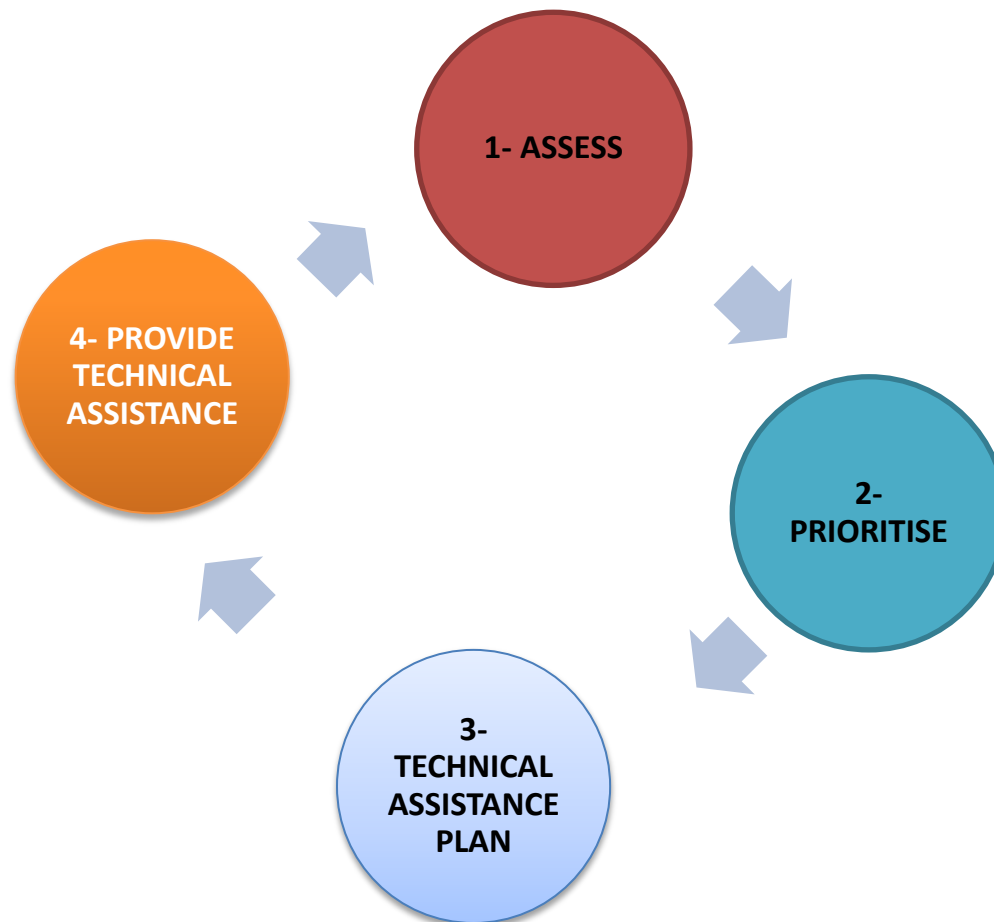
Capacity Assessment Process

➢ **In advance of each assessment, the tool is sent to partners to review and prepare relevant sources of verification**

➢ **Based on the analysis from each assessment, USAID together with partner staff, will participate in a prioritization exercise to determine the important gaps to be addressed and the nature of TA to address these gaps**

➢ **The process is summarized in this figure:**

Capacity Assessment Process

| OCA Tool sent to grantee | → | Management staff and technical staff participate in assessment (often guided by USAID staff) | → | Tool scored and sent/shared with USAID staff/AOR/COR | → | Prioritization Exercise conducted by the Grantee | → | TA Plans developed |

The Organizational Capacity Assessment Tool

The OCA tool helps partners measure their capacity in a participatory manner. It permitted the partners to answer the questions:
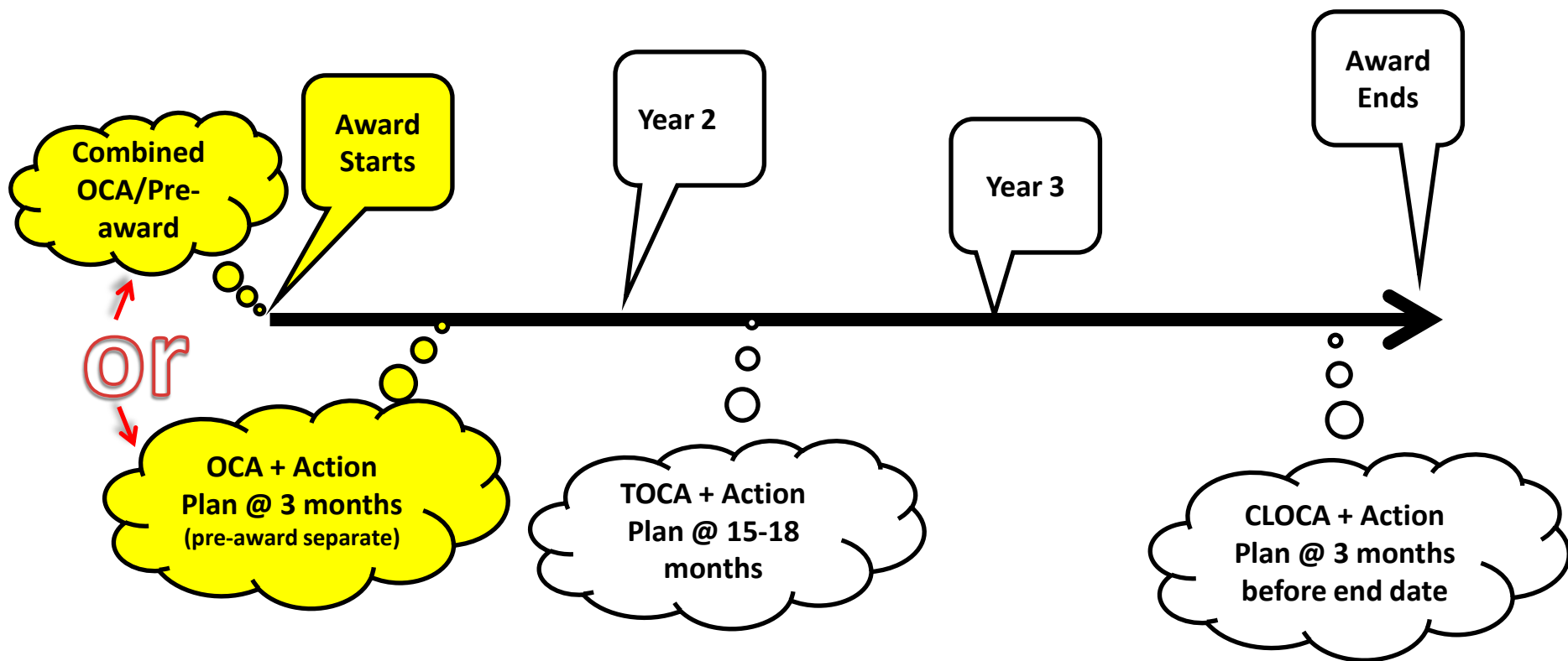
- Where are we now?
- Where do we want to be?
- How do we get there?
- What support do we need and when?

Organizational Capacity Assessment Timeframe

From Action Plans to OD & TA to Coaching to Partnering to Mentoring

The Organizational Capacity Assessment Tool

The tool contains 8 sections, each with several subsections.

The elements are:

1. Governance
2. Administration
3. Human Resources Management
4. Financial Management
5. Organizational Management
6. Program Management
7. Project Performance Management
8. Leadership and Team Dynamics

Sample Section from the Adapted OCA Tool

Section	Sub-section	Type (General ● USG ★ Pre-award ☑)
1. Governance	1.1. Vision/Mission	●
	1.2. Organizational Structure	●
	1.3. Board Composition and Responsibility	●
	1.4. Legal Status	●
	1.5. Succession Planning	●
2. Administration ☑	2.1. Operational Policies, Procedures and Systems	●
	2.2. Travel Policies and Procedures	★
	2.3. Procurement	★ ☑
	2.4. Fixed Assets Control	★ ☑
	2.5. Branding/Marking	★
3. Human Resources Management ☑	3.1. Job Descriptions	●
	3.2. Recruitment and Retention	●
	3.3. Staffing Levels	●
	3.4. Personnel Policies	★
	3.5. Staff Time Management	★ ☑
	3.6. Staff Professional and Salary History Documentation	★ ☑
	3.7. Staff Salaries and Benefits Policy	★
	3.8. Staff Performance Management	●
	3.9. Volunteers/Interns	●

Sample Section from the Adapted OCA Tool

4. Financial Management ☑	4.1. Financial Planning	● ☑
	4.2. Financial Systems	● ☑
	4.3. Financial Controls	● ☑
	4.4. Financial Documentation	● ☑
	4.5. Audits	★ ☑
	4.6. Financial Reporting	★ ☑
	4.7. Cost Share	★
5. Organizational Management	5.1. Strategic Planning	●
	5.2. Work Plan Development	★
	5.3. Change Management	●
	5.4. Knowledge Management	●
	5.5. Stakeholder Involvement	●
	5.6. New Opportunity Development	●
6. Program Management	6.1. Donor Compliance	★
	6.2. Sub-grant Management	★
	6.3. Technical Reporting	★
	6.4. Community Involvement	●
	6.5. Culture and Gender	●
7. Project Performance Management	7.1. Project Implementation Status	●
	7.2. Field Oversight	●
	7.3. Standards	●
	7.4. Supervision	●
	7.5. Monitoring and Evaluation	★
	7.6. Quality Assurance	●
8. Leadership and Team Dynamics	8.1. Communication	●
	8.2. Decision Making	●

Sample Section from the Adapted OCA Tool

HUMAN RESOURCES MANAGEMENT				
	Low Capacity	**Basic Capacity**	**Moderate Capacity**	**Strong Capacity**
Job Descriptions	1	2	3	4
●	The organization has no job/task descriptions for staff, volunteers, or interns.	The organization has job/task descriptions, but staff, volunteers and interns are not aware of or do not have copies of their job/task descriptions. Job descriptions do not include all key sections.	The organization has clear job/task descriptions; staff, volunteers and interns have copies or access to copies; job descriptions cover all key sections; but job/task descriptions are not respected/adhered to, reviewed or updated.	The organization has job/task descriptions that staff, volunteers and interns have copies of or access to; job descriptions have all key sections; they are respected/adhered to, reviewed and updated. Both staff and the organization have job descriptions on file.
Recruitment and Retention	1	2	3	4
●	Organization has no guidelines or consistent approach to recruitment and/or no approaches for retaining staff are in place.	Organization has basic guidelines for recruitment and hiring but they are not consistently applied or followed and HR staff have not been trained/oriented to apply them. And/or the organization has basic aproaches for retaining staff, but does not conduct exit interviews, store information on leavers or provide opportunities for career advancement	The organization has clear recruitment and hiring guidelines and the process is transparent; but the guidelines are not consistently applied. HR staff have not been trained/oriented to apply the guidelines. The organization has good approaches for retaining staff, conducts exit interviews, stores information on leavers and provides opportunities for career advancement.	The organization has clear recruitment guidelines and the process is transparent; the guidelines are consistently applied and HR staff have been trained/oriented to apply the guidelines. The organization has strong approaches for retaining staff that are reviewed and modified to ensure effectiveness. Exit interviews are conducted and information on leavers is stored. Opportunities for career advancement are available.
Staffing Levels	1	2	3	4
●	The organization has no formal staffing plan. Many key management and technical positions within the organization are unfilled, or filled by persons without the right qualifications or skills. Attrition is high or staff attendence problems severe.	The organization has a formal staffing plan and most key management, technical, administration and finance positions are filled with qualified and skilled staff and the organization's attrition rate and/or staff attendance problems are moderate.	The organization has a staffing plan and all key management and other positions (technical, admin, finance) within the organization are staffed with qualified and skilled persons and the organization's attrition rate and/or attendence problems are minimal.	All positions within the organization are staffed with qualified and skilled persons. When gaps exist they are minimal, recent and recruitment is active. No attendance problems exist. The organization has an approach to rapidly filling new positions in evironments where staff turnover is high.

11

Tips to guiding the partner through OCA

- Ensure partner <u>leads</u> the process and takes <u>ownership</u> of the results
- Make sure the relevant partner personnel participate in OCA
- Dig deeper into responses through questions and evidence
- Ensure facilitation team from USAID is multidisciplinary

Dig Deeper: An example

Organizational Structure ●			
1	2	3	4
The organization has no formal structure and department and or key functions responsibilities are not clearly defined and/or functions are not clear.	The organization has a basic organizational structure with adequate definitions of departmental responsibilities and/or key lines of responsibility and communication among departments and/or key functions somewhat clear.	The organization has an organizational structure which is well designed and relevant to its mission/goals; roles and responsibilities of departments and/or functions are clearly defined and appropriate.	The organization has an organizational structure which is well designed and relevant to the mission/goals, roles and responsibilities of departments and/or key functions are clearly defined and appropriate, and lines of communication and coordination among departments and/or key functions is clear and functional.

Partner says: "We are a four (4). We are a very well organized organization"

Possible follow-up questions from USAID:

- **Can you show us an org chart?**

- **Is everyone in the organization aware of its org chart/general organization?**

- **Does the existing structure allow the organization to operate effectively? Does everyone feel this way?**

- **Others…**

OCA Self Evaluation Results/TA Prioritization Exercise

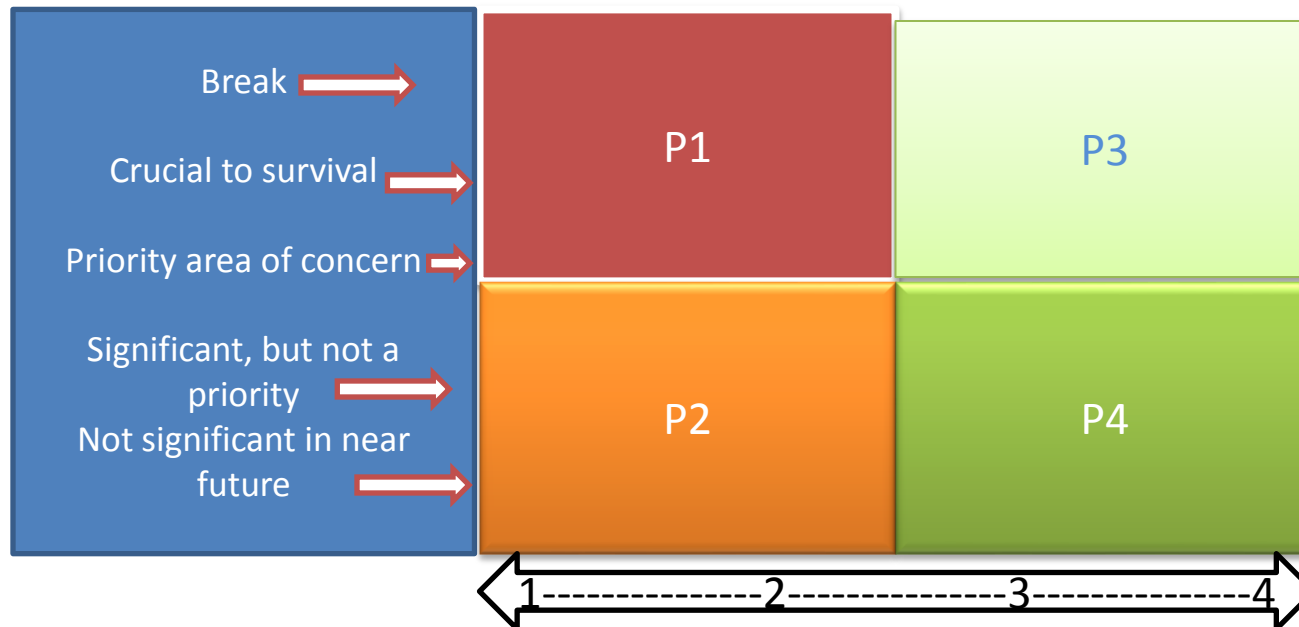| Section	Subsection	Type	Self-Score	Rank	Individual Responsible	Technical Assistance?	Comments
Governance	Vision/Mission	G	2	4	Coordinator	No	
	Organizational Structure	G	2		Coordinator	No	
	Board Composition and Responsibility	G	1		President	No	
	Legal Status	G	4		Coordinator	No	
	Succession Planning	G	1		Coordinator	Yes	
Administration	Operational Policies, Procedures & Systems*	G	2	1	RAF	Yes	
	Travel Policies and Procedures*	USG	2		RAF	No	Francis: send advance/justification documents & sample procedures manual
	Procurement	USG, PA	3		RAF	No	
	Fixed Assets Control	USG, PA	1		RAF	No	Ask Zack for stickers
	Branding/Marking	USG	2		RAF	No	
Human Resources Management	Job Descriptions	G	1	3	Coordinator	No	
	Recruitment and Retention	G	1		Coordinator	No	
	Staffing Levels	G	1		Coordinator	No	
	Personnel Policies	USG	1		Coordinator	No	
	Staff Time Management	USG, PA	1		RAF	No	
	Staff Professional and Salary History Documentation	USG, PA	1		RAF	No	
	Staff Salaries and Benefits Policy	USG	1		Coordinator	No	
	Staff Performance Management	G	1		Coordinator	No	
	Volunteers/Interns	G	1		Coordinator	No	
Financial Management	Financial Systems*	G, PA	2	2	RAF	No	Francis will share examples of bookkeeping.
	Financial Controls	G, PA	2		RAF	No	
	Financial Documentation*	G, PA	2		RAF	No	Francis will share examples.
	Audits	USG, PA	1		RAF	No	
	Financial Reporting	USG, PA	3		RAF	No	Francis will share examples.
	Cost Share	USG	1		Coordinator	No	

TA Prioritization Exercise

❑ **P1: The highest priority issues to address since they scored lowest on the assessment tool and were viewed as `break` or 'crucial to survival' by the partner.**

❑ **P2: Issues that scored low on the assessment tool but are not seen as 'critical to survival', hence are still important, however, slightly lower priorities than P1.**

❑ **P3: Issues that scored high on the assessment tool but are still seen as 'critical to survival', hence are still important, however, slightly lower priorities than P1 and P2.**

❑ **P4: Issues that scored high on the assessment tool and are seen as either 'not a priority' or 'not significant to us in the near future'. Issues in this quadrant are the lowest priority and hence least likely to be included in the TA plan.**

Technical Assistance Plan

ACTION PLAN

	Risk	Findings	Recommendation	Person responsible for implementation	Planned Imp. Date	Area	Imp? Yes/ No/ Partially	Corrective Actions What was done to implement recommendation?	If not implemented, does Risk still exist (If no please explain)
1	Medium	While a booklet containing the organization's vision and mission statement was shared with USAID, there was uncertainty on the part of the SYAFD team when it came to explaining the organization's vision and mission as well as the lines of reporting of employees dues to the lack of an organogram. According to the SYAFD Coordinator, the Board does not meet regularly, and the organization lacks succession planning.	SYAFD should conduct a small training on its mission/vision statement and develop an organogram with clear roles and responsibilities as well as lines of reporting. Regular meetings with the Board should be held, at least semi-annually.	Mr Bacary Sane		Governance			
2	High	There is a lack of written policies and procedures around general office procedures, hiring of consultants, advance and reconciliation practices (especially concerning travel), non-expendable equipment policy, and branding strategy.	SYAFD should develop clear organizational policies and procedures, document them in a manual of procedures, share the policies and procedures, and implement them throughout the organization. The manual should include the following headings: - Financial Management Procedures - Human Resources - Procurement - Inventory and Asset Management - Travel Policy - Governance Structure	Mr Bacary Sane		Procurement and Authorisation of Expenditures			

To be completed by Grantee and Reviewed by AOTR

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To be completed by AOTR and Financial Analyst

Roundtable Discussion

Topics can include:

1. **Challenges experienced from OCA's in the past**
2. **Benefits of the process – continued follow-up**
3. **Areas for improvement**
4. **Resource management (internal to USAID) to preform/follow-up OCA**
5. **Technical assistance following OCA**
6. **How the pre-award survey fits into this process**
7. **OCA language in the award**
8. **USAID OCA facilitation team composition**
9. **Other…**

THE END

THANKS